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Jc846 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mucke et al.  
Docket: 11450.70US01  
Title: METHOD AND DEVICE FOR THE ROLLING OR WINDING OF STRIP

CERTIFICATE UNDER 37 CFR 1.10  
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By: *Linda McCormick*  
Name: Linda McCormick

Jc564 U.S. PTO  
09/666867  
09/20/00

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ Utility Patent Application: Spec. 7 pgs; 5 claims; Abstract 1 pgs.:
- ☒ 4 sheets of formal drawings
- ☒ Small entity status will be established at a later date
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ Other: Information Disclosure Statement, PTO form-1449, 1 reference, Communication re: priority document
- ☒ Return postcard
- ☒ **PAYMENT OF THE FILING FEE IS BEING DEFERRED.**

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**23552**  
PATENT TRADEMARK OFFICE

(PTO TRANSMITTAL - NEW FILING/DEFERRED FEES)

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"Method and device for the rolling or winding of strip"

The invention relates to a method for the rolling or winding of strip having an unequal thickness over the strip width, in which the tension over the strip width in a strip length portion limited by rolls, winders, or control, guide or deflecting rollers is measured by means of a measuring roller, and claims the priority of German patent application 199 45 202.4, to the content of which reference is made.

The hot rolling of metallic strip, particularly in rolling mill trains for wide strip, gives rise to an uneven thickness profile over the strip width and strip length. As a rule, such a wide strip has a smaller thickness at its side edges than in its center. Wide strip of this kind is often subdivided in the longitudinal direction into narrower strips. These longitudinally divided strips (split strips) then have, at least partially, a wedge-shaped cross section, in which one edge region is thicker than the other, opposite edge region. Such a wedge-shaped cross section presents difficulties during the further processing of the split strip. This applies whenever the split strip is rolled, wound on winders or guided via rollers, such as, for example, deflecting rollers.

If, for example, such a strip is to be reduced in  
35 thickness by rolling, it runs out of true laterally in  
the roll nip formed by the processing rolls and on the  
winder, because, when the strip of wedge-shaped cross  
section is being wound, a varying winding diameter over  
the strip width is established and then consequently

brings about an asymmetric distribution of longitudinal tension over the strip width. Equalization of the tensions in the strip, stabilization of the rolling process and a reduction in the out-of-true running of the strip are achieved by means of stabilizing rollers which are arranged upstream and downstream of the roll nip. DE-A-195 24 729 describes such a method and a corresponding device. According to this, guide rollers of the device can be inclined in an essentially vertical plane, in order thereby to tilt the strip by a limited amount out of its horizontal position and thus equalize the strip tensions and counteract its running out of true laterally in the roll nip. Said publication also describes a pivoting of the guide rollers in the horizontal plane for the same purpose. In this case, the stabilizing rollers are to be adjusted as a function of the distribution of the tensile stresses over the width of the strip. The tensile stress distribution is measured for this purpose. Consequently, in the known device, the stabilizing rollers are mounted on bearing pedestals, on which force-measuring sensors are arranged for determining the tensile force asymmetry present in the strip.

However, the known method cannot prevent the measurement of the tensile stress distribution in the strip from continuing to be subject to serious errors. What tensile stress distribution during rolling actually occurs depends on the particular process situation. To be precise, the tensile stress at the measuring point is composed of various stresses. These are, in the first place, tensile stresses which occur as a result of the varying length distribution of the strip over its width. These are the stresses actually to be measured. However, disturbing stresses also arise, which occur only because the strip running out of true laterally on account of its wedge-shaped cross section no longer runs onto a following assembly (roll,

winder, or control, guide or deflecting roller) perpendicularly to the axis of rotation.

If such a strip is wound onto a winder in this way, such as, for example, downstream of the roll nip during rolling, the run-on points of the strip on the winder are displaced, and an asymmetric strip geometry is obtained. As long as this situation persists, in the length portion of the strip between the roll nip and winder a stress state is established, in which the highest stress occurs at the corners located diagonally opposite one another, whilst the stresses at the other points are markedly lower. This gives rise to diagonal folds in the strip, and this state is therefore also designated the "towel effect". In the known method and in the measurement, carried out in this, of the tensile stress distribution over the strip width, this effect leads to a falsification of the measurement values, because those tensile stresses occurring as a result of the varying length of the strip over its width have superposed on them the tensile stresses arising from the towel effect. Consequently, these measurement values cannot be used for accurate measurement and therefore also not for the accurate control and regulation of the strip planeness, since it is not possible to distinguish between the actual tensile stresses corresponding to the length distribution and the disturbing stresses.

The object on which the invention is based is to provide a method and/or a device, whereby it is possible to obtain more accurate measurement values.

This problem is solved, according to the invention, in that disturbing stresses in the strip, caused by distortions when the strip runs out of true, are kept away from the measuring roller by means of a partitioning device. Such a partitioning device ensures that only those tensile stresses in the strip arise in

the region of the measuring roller which occur as a result of the varying length of the strip over its width. The abovementioned disturbing stresses cannot be avoided in the case of a strip of uneven thickness, but  
5 are kept away by means of the partitioning device from that point on the strip where the measuring roller measures the tensile stress distribution in the strip.

The subject of the invention is, moreover, a device for  
10 the rolling or winding of strip having an unequal thickness over the strip width, which possesses a measuring roller for measuring the stresses in a strip length portion limited by rolls, winders, or control, guide or deflecting rollers. This device is defined,  
15 according to the invention, in that, between the measuring roller and an assembly (roll, winder, or control, guide or deflecting roller) causing disturbing stresses in the strip, a partitioning device for absorbing the disturbing stresses is arranged. In this  
20 case, the partitioning device is arranged between the measuring roller and that point from which the disturbing stresses emanate. Depending on the type of device, it may be necessary to use a second partitioning device if disturbing stresses may take  
25 effect relative to the measuring roller from a second side. At all events, when the partitioning systems are used, the measuring roller actually determines only those stresses over the strip width which correspond to the length distribution of the strip and from which  
30 correct values for controlling, regulating and measuring can be derived.

In a preferred embodiment of the invention, the partitioning device possesses a roller, preferably a  
35 plurality of rollers which maintain close contact with the strip via a surface with a good grip and over a sufficiently large looping angle. This close contact with the strip brings about an aligning effect in the strip, since the disturbing stresses are transmitted

and dissipated from the strip to the rollers and their mounting.

It is advantageous if the rollers of the partitioning  
5 device are mounted adjustably, but so as to be at a  
fixed location during operation. The adjustability of  
the rollers makes it possible to set these perfectly,  
in particular to ensure as large a looping angle as  
possible and consequently a sufficient partitioning  
10 effect. A firm fixed mounting of the rollers during  
operation ensures that the disturbing stresses are  
dissipated reliably.

The invention is explained in more detail below by  
15 means of exemplary embodiments illustrated in the  
drawing, in which:

Figure 1 shows a diagrammatic illustration of a known  
device for the rolling of strip in a side  
20 view;

Figure 2 shows a top view of the device according to  
Figure 1 on a larger scale;

25 Figure 3 shows a device according to the invention  
with single-roller partitioning, and

Figure 4 shows a device according to the invention  
with double-roller partitioning.

30 Two rolls 1 and 2 form between them a roll nip 3,  
through which a strip 4 is guided, rolled and at the  
same time reduced in thickness. A winder 5, onto which  
the strip 4 is wound, is arranged at some distance from  
35 the rolls 1, 2. A measuring roller 6 supports the strip  
4 from below. Sensors, not illustrated, in the  
measuring roller measure the forces which occur there  
and which give a measure of the stresses prevailing in  
the strip 4.

Since the strip 4 has a wedge-shaped cross section, it is wound on the winder with varying tautness over its width, so that a higher strip tension is established at the thicker point of the strip. This leads to the strip 4 being deflected laterally between the winder 5 and measuring roller 6. This is reproduced, somewhat exaggerated, in Figure 2 for the purpose of illustrating the consequences of deflection more clearly. The asymmetric strip tension leads to the strip being bent and no longer meeting the winder 5 perpendicularly with its side edges, that is to say no longer at an angle of  $90^\circ$  to the axis of rotation 7 of the winder 5. As a result, when the strip 4 of wedge-shaped cross section is being wound, the run-on points of the strip on the winder 5 are displaced, and an asymmetric strip geometry is obtained. In Figure 2, the run-on points of the strip 4 are identified by arrows 8. In this situation, in the length portion of the strip between the measuring roller 6 and winder 5, a completely uneven stress state is established, in which the stresses arising from the changing strip length and the disturbing stresses occurring due to the asymmetric introduction of tension at the winder and to distortions of the strip 4 running out of true are superposed on one another. The measuring roller 6 and its sensors cannot distinguish between the two types of stress. The measurement values thus obtained are consequently useless.

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Figure 3 likewise illustrates a device for the rolling of a strip 4 which is wound by a winder 5. In this case, it is unimportant if the measuring roller 6 present there is arranged above the strip 4. It operates on the same principle as the measuring roller 6 in Figures 1 and 2. What is critical, however, is that, in Figure 3, a partitioning device 9 is arranged between the measuring roller 6 and the winder 5. Said partitioning device consists of a roller 10 with a

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surface having a sufficiently good grip. The roller 10 should also be arranged in such a way that a sufficiently large looping angle is obtained and therefore the strip 4 is in contact with the roller 10 over a large area. The roller 10 could also be adjustable in order to achieve this. During operation, however, its position remains fixed and stable, in order to absorb and dissipate the disturbing stresses which, emanating from the winder 5, take effect in the strip 4 counter to the direction of run of the latter.

Above the device, Figure 3 also illustrates a top view of the strip 4, in which the forces which occur are illustrated as arrows. On the far left can be seen the unequal forces occurring directly when the strip 4 runs onto the winder 5 at the point identified by 11. The forces taking effect at the point 12 in the strip 4 are illustrated in the middle region. On the far right is illustrated the fact that, in the region of the measuring roller 6, for example at the point 13, only those forces arise which occur as a result of the length distribution of the strip over the width, because the disturbing stresses emanating from the winder 5 do not pass the partitioning device 9 since they are dissipated.

Figure 4 differs from Figure 3 primarily in that it illustrates a partitioning device 9 which possesses two rollers 10. In this way, an even larger looping angle as a whole, and therefore even more reliable partitioning of the disturbing stresses, can be achieved. Partitioning devices with more than two rollers 10 are perfectly possible and, in many cases, are even expedient and necessary.



Patent claims

1. A method for the rolling or winding of strip having an unequal thickness over the strip width, in which the tension in a strip length portion limited by rolls, winders, or control, guide or deflecting rollers is measured by means of a measuring roller, wherein disturbing stresses caused in the strip (4) by the asymmetric introduction of tension and by distortions when the strip runs out of true are kept away from the measuring roller (6) by means of a partitioning device (9).
2. A device for the rolling or winding of strip, with a measuring roller for measuring the stresses in a strip length portion limited by rolls, winders, or control, guide or deflecting rollers, wherein, between the measuring roller (6) and an assembly (5) causing disturbing stresses in the strip (4); a partitioning device (9) for absorbing the disturbing stresses is arranged.
3. The device as claimed in claim 2, wherein the partitioning device (9) possesses at least one roller (10).
4. The device as claimed in claim 3, wherein the rollers (10) are mounted adjustably, but so as to be at a fixed location during operation.
5. A method for the rolling or winding of strip having an equal thickness over the strip width and/or of the strip length, in which the tension in a strip length portion limited by rolls, winders, or control, guide or deflecting rollers is measured by means of a measuring roller, wherein disturbing stresses caused in the strip (4) by distortions when the strip runs out of true

are kept away from the measuring roller (6) by means of a partitioning device (9).

[illegible]

B F I VDEh-Institut für angewandte Forschung GmbH

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Abstract:

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The invention relates to a method and a device for the rolling or winding of strip having an equal thickness over the strip width, in which the tension in a strip length portion limited by rolls, winders, or control,

15    guide or deflecting rollers is measured by means of a measuring roller. In order, in this case, to obtain more accurate measurement values and keep disturbing stresses away from the measuring point, between the

measuring roller and an assembly (roll, winder, or

20    control, guide or deflecting roller) causing disturbing stresses in the strip, a partitioning device for absorbing the disturbing stresses is arranged.

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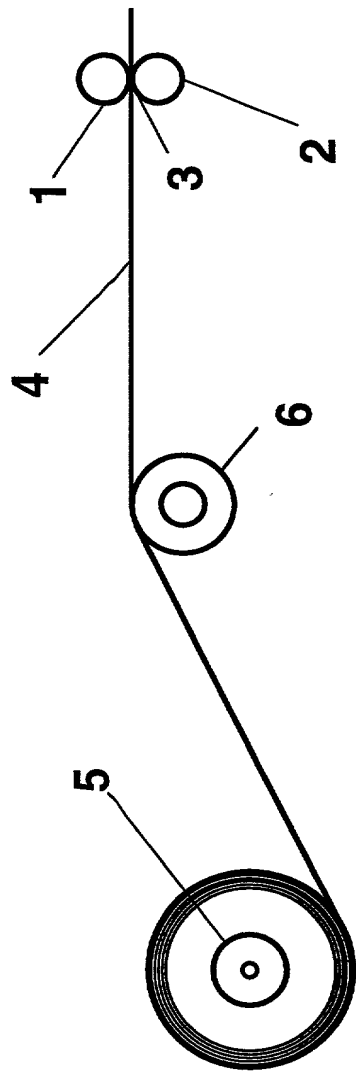


Fig. 1

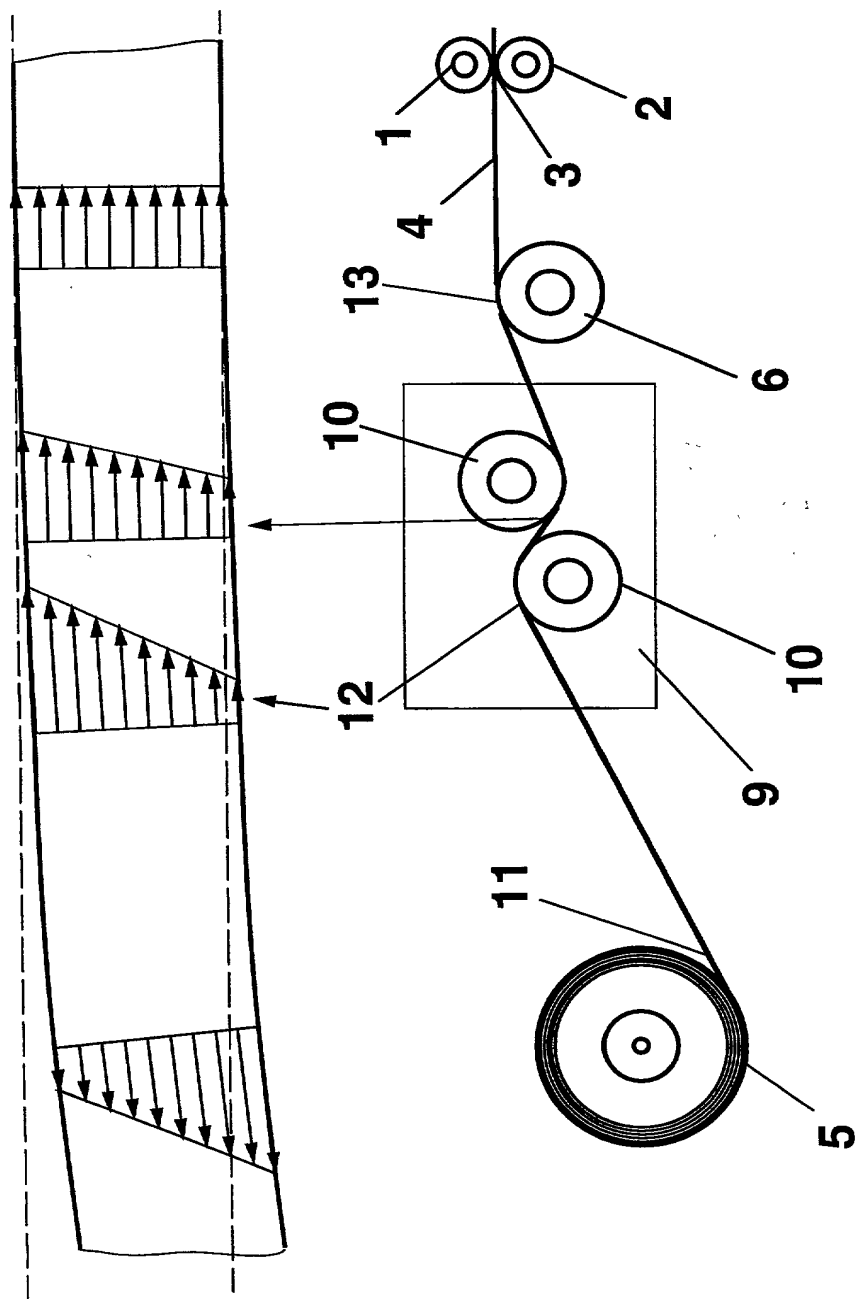
A technical diagram of a mechanical assembly, likely a pump or turbine component, shown in a cross-sectional view. The diagram includes the following numbered components:

- 1**: A horizontal base or support structure at the bottom.
- 2**: A vertical shaft or central component extending upwards from the base.
- 3**: A horizontal flange or disc at the top of the shaft.
- 4**: A large, curved, hatched component that forms the main body of the assembly, surrounding the shaft.
- 5**: A rectangular block or housing on the right side, connected to the main body.
- 6**: A rectangular block or housing on the left side, connected to the main body.
- 7**: A horizontal flange or disc at the top of the main body.
- 8**: A series of small, curved components or blades located between the main body and the top flange, possibly representing a seal or a set of vanes.

The diagram also features a  $90^\circ$  angle indicator at the top left, suggesting a specific orientation or measurement. The hatching pattern for the main body (4) is diagonal lines sloping downwards from left to right.

**Fig. 2**





**Fig. 4**

MERCHANT &amp; GOULD P.C.

## United States Patent Application

## COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHOD AND DEVICE FOR THE ROLLING OR WINDING OF STRIP

The specification of which

- a. ☒ is attached hereto  
b. ☐ was filed on      as application serial no.      and was amended on      (if applicable) (in the case of a PCT-filed application) described and claimed in international no.      filed      and as amended on      (if any), which I have reviewed and for which I solicit a United States patent.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56 (attached hereto).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed:

- a. ☐ no such applications have been filed.  
b. ☒ such applications have been filed as follows:

| FOREIGN APPLICATION(S), IF ANY, CLAIMING PRIORITY UNDER 35 USC § 119         |                    |                                      |                                     |
|--|--------------------|--------------------------------------|-------------------------------------|
| COUNTRY  | APPLICATION NUMBER | DATE OF FILING<br>(day, month, year) | DATE OF ISSUE<br>(day, month, year) |
| Germany  | 199 45 202.4       | 21 September 1999                    |                                     |
| ALL FOREIGN APPLICATION(S), IF ANY, FILED BEFORE THE PRIORITY APPLICATION(S) |                    |                                      |                                     |
| COUNTRY  | APPLICATION NUMBER | DATE OF FILING<br>(day, month, year) | DATE OF ISSUE<br>(day, month, year) |
|  |                    |                                      |                                     |

I hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. APPLICATION NUMBER | DATE OF FILING (day, month, year) | STATUS (patented, pending, abandoned) |
|-------------------------|-----------------------------------|---------------------------------------|
|                         |                                   |                                       |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

| U.S. PROVISIONAL APPLICATION NUMBER | DATE OF FILING (Day, Month, Year) |
|-------------------------------------|-----------------------------------|
|                                     |                                   |

I hereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:



|                             |                   |                           |                   |
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| Albrecht, John W.           | Reg. No. 40,481   | Leon, Andrew J.           | Reg. No. P-46,869 |
| Ali, M. Jeffer              | Reg. No. 46,359   | Leonard, Christopher J.   | Reg. No. 41,940   |
| Anderson, Gregg I.          | Reg. No. 28,828   | Liepa, Mara E.            | Reg. No. 40,066   |
| Batzli, Brian H.            | Reg. No. 32,960   | Lindquist, Timothy A.     | Reg. No. 40,701   |
| Beard, John L.              | Reg. No. 27,612   | Lycke, Lawrence E.        | Reg. No. 38,540   |
| Berns, John M.              | Reg. No. 43,496   | McAuley, Steven A.        | Reg. No. 46,084   |
| Black, Bruce E.             | Reg. No. 41,622   | McDonald, Daniel W.       | Reg. No. 32,044   |
| Branch, John W.             | Reg. No. 41,633   | McIntyre, Jr., William F. | Reg. No. 44,921   |
| Bremer, Dennis C.           | Reg. No. 40,528   | Mitchem, M. Todd          | Reg. No. 40,731   |
| Bruess, Steven C.           | Reg. No. 34,130   | Mueller, Douglas P.       | Reg. No. 30,300   |
| Byrne, Linda M.             | Reg. No. 32,404   | Nichols, A. Shane         | Reg. No. 43,836   |
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| Carlson, Alan G.            | Reg. No. 25,959   | Phillips, Bryan K.        | Reg. No. P-46,990 |
| Caspers, Philip P.          | Reg. No. 33,227   | Phillips, John B.         | Reg. No. 37,206   |
| Chiapetta, James R.         | Reg. No. 39,634   | Plunkett, Theodore        | Reg. No. 37,209   |
| Clifford, John A.           | Reg. No. 30,247   | Prendergast, Paul         | Reg. No. 46,068   |
| Daignault, Ronald A.        | Reg. No. 25,968   | Pytel, Melissa J.         | Reg. No. 41,512   |
| Daley, Dennis R.            | Reg. No. 34,994   | Qualey, Terry             | Reg. No. 25,148   |
| Dalglish, Leslie E.         | Reg. No. 40,579   | Reich, John C.            | Reg. No. 37,703   |
| Daulton, Julie R.           | Reg. No. 36,414   | Reiland, Earl D.          | Reg. No. 25,767   |
| DeVries Smith, Katherine M. | Reg. No. 42,157   | Samuels, Lisa A.          | Reg. No. 43,080   |
| DiPietro, Mark J.           | Reg. No. 28,707   | Schmaltz, David G.        | Reg. No. 39,828   |
| Edell, Robert T.            | Reg. No. 20,187   | Schuman, Mark D.          | Reg. No. 31,197   |
| Epp Ryan, Sandra            | Reg. No. 39,667   | Schumann, Michael D.      | Reg. No. 30,422   |
| Glance, Robert J.           | Reg. No. 40,620   | Scull, Timothy B.         | Reg. No. 42,137   |
| Goggin, Matthew J.          | Reg. No. 44,125   | Sebald, Gregory A.        | Reg. No. 33,280   |
| Golla, Charles E.           | Reg. No. 26,896   | Skoog, Mark T.            | Reg. No. 40,178   |
| Gorman, Alan G.             | Reg. No. 38,472   | Spellman, Steven J.       | Reg. No. 45,124   |
| Gould, John D.              | Reg. No. 18,223   | Stoll-DeBell, Kirstin L.  | Reg. No. 43,164   |
| Gregson, Richard            | Reg. No. 41,804   | Sumner, John P.           | Reg. No. 29,114   |
| Gresens, John J.            | Reg. No. 33,112   | Swenson, Erik G.          | Reg. No. 45,147   |
| Hamer, Samuel A.            | Reg. No. P-46,754 | Tellekson, David K.       | Reg. No. 32,314   |
| Hamre, Curtis B.            | Reg. No. 29,165   | Trembath, Jon R.          | Reg. No. 38,344   |
| Harrison, Kevin C.          | Reg. No. P-46,759 | Tuchman, Ido              | Reg. No. 45,924   |
| Hertzberg, Brett A.         | Reg. No. 42,660   | Underhill, Albert L.      | Reg. No. 27,403   |
| Hillson, Randall A.         | Reg. No. 31,838   | Vandenburgh, J. Derek     | Reg. No. 32,179   |
| Holzer, Jr., Richard J.     | Reg. No. 42,668   | Wahl, John R.             | Reg. No. 33,044   |
| Houston, Scott W.           | Reg. No. 39,721   | Weaver, Karrie G.         | Reg. No. 43,245   |
| Kadjevitch, Natalie D.      | Reg. No. 34,196   | Welter, Paul A.           | Reg. No. 20,890   |
| Karjeker, Shaukat           | Reg. No. 34,049   | Whipps, Brian             | Reg. No. 43,261   |
| Kastelic, Joseph M.         | Reg. No. 37,160   | Whitaker, John E.         | Reg. No. 42,222   |
| Kettelberger, Denise        | Reg. No. 33,924   | Wickhem, J. Scot          | Reg. No. 41,376   |
| Keys, Jeramie J.            | Reg. No. 42,724   | Williams, Douglas J.      | Reg. No. 27,054   |
| Knearl, Homer L.            | Reg. No. 21,197   | Withers, James D.         | Reg. No. 40,376   |
| Kowalchyk, Alan W.          | Reg. No. 31,535   | Witt, Jonelle             | Reg. No. 41,980   |
| Kowalchyk, Katherine M.     | Reg. No. 36,848   | Wu, Tong                  | Reg. No. 43,361   |
| Lacy, Paul E.               | Reg. No. 38,946   | Xu, Min S.                | Reg. No. 39,536   |
| Larson, James A.            | Reg. No. 40,443   | Zeuli, Anthony R.         | Reg. No. 45,255   |

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Merchant & Gould P.C. to the contrary.

Please direct all correspondence in this case to Merchant & Gould P.C. at the address indicated below:

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

|                                   |                                    |  |  |  |
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## § 1.56 Duty to disclose information material to patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to *that individual to be* material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application:

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.